

Attorney Docket No. : RPP:156A US

Applicant or Patentee: Yasmin Thanavala, et al.  
Serial or Patent No: 09/420,695  
Filed or Issued: October 19, 1999  
For: ORAL IMMUNOLOGY USING PLANT PRODUCT  
CONTAINING HEPATITIS SURFACE ANTIGEN

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: Boyce Thompson Institute for Plant Research, Inc.  
Address of Organization: Tower Road, Ithaca, New York 14853-1801

Type of Organization:

- ☐ University or other institute of higher education
- ☒ Tax exempt under Internal Revenue Service Code 26 USC 501(a) & 501(c)(3)
- ☐ Nonprofit scientific or educational under Statute of State of The United States of America (Name of State: , Citation of Statute: )
- ☐ Would qualify as tax exempt under Internal Revenue Service Code 26 USC 501(a) and 501(c)(3) if located in the United States of America
- ☐ Would qualify as nonprofit scientific or educational under statute of State of the United States of America if located in the United States of America (Name of State: , Citation of Statute: )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35 United States Code, to the Patent and Trademark Office with regard to the invention entitled: ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE ANTIGEN

by inventors: Yasmin Thanavala and Charles Joel Arntzen

described in:

- ☐ the specification to be filed herewith
- ☒ Application Serial No. 09/420,695, Filed October 19, 1999
- ☐ Patent No. , Issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

Full Name: Yasmin Thanavala

Address: 157 Presidio Place, Williamsville, New York 14221

☒ individual      ☐ small business concern      ☐ nonprofit organization

Full Name: Charles Joel Arntzen

Address: 1005 Highland Road, Ithaca, New York 14850-1447

☒ individual      ☐ small business concern      ☐ nonprofit organization

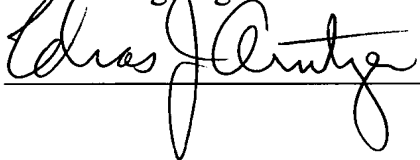
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

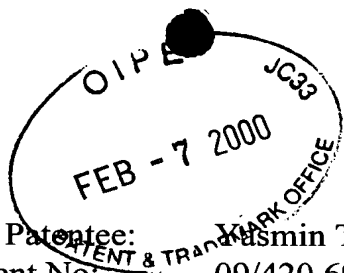
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Charles J. Arntzen

Title in Organization: President

Address of Person Signing: Tower Road, Ithaca, New York 14853-1801

Signature:  Dated: 24 January, 2000



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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled: ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE ANTIGEN

described in:

- ☐ the specification to be filed herewith
- ☒ Application Serial No. 09/420,695, Filed October 19, 1999
- ☐ Patent No. , Issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization
- ☐ persons, concerns or organizations listed below (Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27))

Full Name: Boyce Thompson Institute For Plant Research, Inc.  
Address: Tower Road, Ithaca, New York 14853-1801

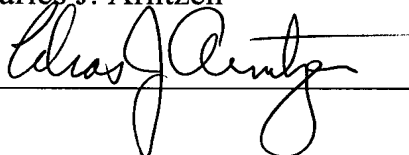
☐ individual      ☐ small business concern      ☒ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Inventor: Charles J. Arntzen

Signature of Inventor:

A handwritten signature in cursive script, appearing to read "Charles J. Arntzen", written over a horizontal line.

Dated:

A handwritten date "24 January, 2000" written in cursive script over a horizontal line.